

PATENT COOPERATION TREATY

From the RECEIVING OFFICE

PCT

To:

KEITH E. GEORGE
MCDERMOTT WILL & EMERY LLP
600 13TH STREET, NW
WASHINGTON, DISTRICT OF COLUMBIA
20005-3096

NOTIFICATION CONCERNING PAYMENT OF PRESCRIBED FEES

(PCT Rules 14, 15 and 16 and Administrative
Instructions, Sections 102bis(c), 304,
323(b), 707(b) and 803)

| | |
|---|--|
| Date of mailing (day/month/year) 12 Jul 2005 | |
| Applicant's or agent's file reference 49480-058 | PAYMENT DUE see item 3 for time limits |
| International application No. PCT/US2005/014107 | International filing date/Date of receipt (day/month/year) 26 Apr 2005 |
| Priority date (day/month/year) 27 Apr 2004 | |
| Applicant ADVANCED OPTICAL TECHNOLOGIES, LLC | |

1. The applicant is hereby notified that this receiving Office has received:

- ☒ the payment of all the prescribed fees, and
 ☐ an overpayment, which will be refunded in due course.
- ☐ no or insufficient payment of the prescribed fees and the applicant is hereby invited to pay the balance due, as summarized under item 2, within the time limit(s) indicated under item 3.

2. Fees and payment calculation:

| | | | | |
|--------------------|---|-------------|---|---------|
| 2,286.00 | - | 2,286.00 | = | 0.00 |
| Total fees payable | | Amount paid | | Balance |

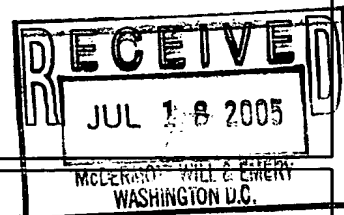
☐ The details of the calculation are given in the Annex.

3. Time limit(s) for payment and amount(s) payable (Rules 14.1, 15.4 and 16.1(f)):

- ☐ within ONE MONTH from the date of receipt of the international application (for the transmittal fee (if any), the search fee and the international filing fee). The amount payable for each fee is the amount applicable on the date of receipt of the international application.
- ☐ within 16 MONTHS from the priority date (only for the fee for priority document). The applicant's attention is drawn to the fact that the request made by the applicant under Rule 17.1(b) will be considered not to have been made unless the fee is paid within that time limit.

4. Additional observations (if necessary):

- ☐ The search copy will not be transmitted to the International Searching Authority until the search fee is paid (therefore the start of the international search will be delayed) (Rule 23.1(a) and (b)).



| | |
|---|--|
| Name and mailing address of the receiving Office Mail Stop PCT, Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313-1450 Facsimile No. 703-305-3230 | Authorized officer Rita Dozier Telephone No. 703-308-9290 EX 119 |
|---|--|

**ANNEX TO FORM PCT/RO/102
CALCULATION OF THE PRESCRIBED FEES**

International application No.

PCT/US2005/014107

T Transmittal Fee

Prescribed amount: 300.00 **T**
 Amount paid: 300.00
 Balance: = 0.00

☒ correct amount
☐ overpayment
☐ balance due

S Search Fee

Prescribed amount: 300.00 **S**
 Amount paid: 300.00
 Balance: = 0.00

☒ correct amount
☐ overpayment
☐ balance due

I International Filing Fee

Fixed amount for first 30 sheets: 1,211.00 **i1**

35 x 13.00 = 455.00 **i2**
 Number of sheets Fee per sheet
 in excess of 30

Additional component: . . . 400 x 0.00 = 0.00 **i3**
 Fee per sheet

Reduction where the international application is filed
 (See PCT Applicant's Guide, Volume I, General Part,
 for details on the availability of this reduction):

using the PCT-EASY software: 0.00 **r**

or

in electronic form where the text of the
 description, claims and abstract is not in
 character coded format: 0.00 **r**

or

in electronic form where the text of the
 description, claims and abstract is in character
 coded format: 0.00 **r**

Sub-total: = 1,666.00 **i1+i2+i3-r**

Prescribed total amount (The amount to be entered at I is the sub-total
 entered at (i1+i2+i3-r), except where the applicant is (or all applicants
 are) entitled to a reduction of 75%, in which case the amount to be
 entered at I is 25% of the sub-total (i1+i2+i3-r); certain applicants from
 certain States are entitled to a reduction of 75% of the international
 filing fee; see Notes to the Fee Calculation Sheet as annexed to the
 Request Form, PCT/RO/101, for details): =

1,666.00 **I**

Amount paid: 1,666.00

Balance: = 0.00

☒ correct amount
☐ overpayment
☐ balance due

P Fee for Priority Document

Prescribed amount: 20.00 **P**

Amount paid: 20.00

Balance: = 0.00

☒ correct amount
☐ overpayment
☐ balance due

PATENT COOPERATION TREATY

From the RECEIVING OFFICE

PCT

NOTIFICATION OF THE INTERNATIONAL APPLICATION NUMBER AND OF THE INTERNATIONAL FILING DATE

(PCT Rule 20.5(c))

To:

KEITH E. GEORGE
MCDERMOTT WILL & EMERY LLP
600 13TH STREET, NW
WASHINGTON, DISTRICT OF COLUMBIA
20005-3096

Date of mailing
(day/month/year)

12 Jul 2005

Applicant's or agent's file reference

49480-058

IMPORTANT NOTIFICATION

International application No.

PCT/US2005/014107

International filing date (day/month/year)

26 Apr 2005

Priority date (day/month/year)

27 Apr 2004

Applicant

ADVANCED OPTICAL TECHNOLOGIES, LLC

Title of the invention

PRECISE REPEATABLE SETTING OF COLOR CHARACTERISTICS FOR LIGHTING APPLICATIONS

1. The applicant is hereby notified that the international application has been accorded the international application number and the international filing date indicated above.

2. The applicant is further notified that the record copy of the international application:



was transmitted to the International Bureau on

12 Jul 2005



has not yet been transmitted to the International Bureau for the reason indicated below and a copy of this notification has been sent to the International Bureau*:



because the necessary national security clearance has not yet been obtained.



because (reason to be specified):

* The International Bureau monitors the transmittal of the record copy by the receiving Office and will notify the applicant (with Form PCT/IB/301) of its receipt. Should the record copy not have been received by the expiration of 14 months from the priority date, the International Bureau will notify the applicant (Rule 22.1(c)).

3. FOREIGN TRANSMITTAL LICENSE INFORMATION

Completed by: RD



Additional license for foreign transmittal not required. This subject matter is covered by a license already granted or the equivalent U.S. national application. Refer to that license for information concerning its scope.



License for foreign transmittal not required. 37 CFR. 5.11(e)(1) or 37 CFR 5.11(e)(2). However, a license may be required for additional subject matter. See 37 CFR 5.15(b).



Foreign transmittal license granted. 35 U.S.C. 184; 37 CFR 5.11 on

07 Jul 2005

(date)



37 CFR 5.15(a)



37 CFR 5.15(b)

Name and mailing address of the receiving Office

Mail Stop PCT, Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

Facsimile No. 703-305-3230

Authorized officer

Rita Dozier

Telephone No. 703-308-9290 EX 119

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

NOTIFICATION OF RECEIPT OF SEARCH COPY

(PCT Rule 25.1)

To:

KEITH E. GEORGE
MCDERMOTT WILL & EMERY LLP
600 13TH STREET, NW
WASHINGTON, DISTRICT OF COLUMBIA
20005-3096

Date of mailing
(day/month/year)

12 Jul 2005

Applicant's or agent's file reference
49480-058

IMPORTANT NOTIFICATION

International application No.
PCT/US2005/014107

International filing date (day/month/year)
26 Apr 2005

Priority date (day/month/year)
27 Apr 2004

Applicant

ADVANCED OPTICAL TECHNOLOGIES, LLC

1. **Where the International Searching Authority and the receiving Office are not the same Office:**

The applicant is hereby notified that the search copy of the international application was received by this International Searching Authority on the date indicated below.

Where the International Searching Authority and the receiving Office are the same Office:

The applicant is hereby notified that the search copy of the international application was received on the date indicated below.

12 Jul 2005

(date of receipt).

2. ☐ The search copy was accompanied by a nucleotide and/or amino acid sequence listing or tables related thereto in computer readable form.

3. **Time limit for establishment of international search report and written opinion of the International Searching Authority**

The applicant is informed that the time limit for establishing the international search report and the written opinion of the International Searching Authority is three months from the date of receipt indicated above or nine months from the priority date, whichever time limit expires later (Rules 42.1 and 43bis.1(a)).

4. A copy of this notification has been sent to the International Bureau and, where the first sentence of paragraph 1 applies, to the receiving Office.

Name and mailing address of the ISA/
Mail Stop PCT, Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450
Facsimile No. 703-305-3230

Authorized officer

Rita Dozier

Telephone No. 703-308-9290 EX 119

PATENT COOPERATION TREATY

PCT

NOTIFICATION OF RECEIPT OF
RECORD COPY

(PCT Rule 24.2(a))

From the INTERNATIONAL BUREAU

To:

GEORGE, Keith, E.
McDermott Will & Emery LLP
600 13th Street, NW
Washington, DC 20005-3096
United States of America

| | |
|---|--|
| Date of mailing (day/month/year) 04 August 2005 (04.08.2005) | IMPORTANT NOTIFICATION |
| Applicant's or agent's file reference 49480-058 | International application No. PCT/US2005/014107 |

The applicant is hereby **notified** that the International Bureau has received the record copy of the international application as detailed below.

Name(s) of the applicant(s) and State(s) for which they are applicants:

ADVANCED OPTICAL TECHNOLOGIES, LLC (for all designated States except US)
RAINS, Jack, C., Jr. et al (for US)

International filing date : 26 April 2005 (26.04.2005)

Priority date(s) claimed : 27 April 2004 (27.04.2004)

Date of receipt of the record copy
by the International Bureau : 18 July 2005 (18.07.2005)

List of designated Offices :

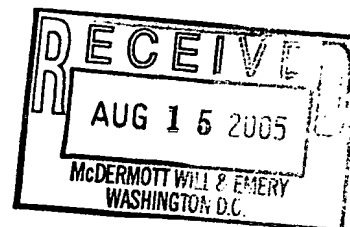
AP : BW, GH, GM, KE, LS, MW, MZ, NA, SD, SL, SZ, TZ, UG, ZM, ZW

EA : AM, AZ, BY, KG, KZ, MD, RU, TJ, TM

EP : AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IS, IT, LT, LU, MC, NL, PL, PT, RO, SE, SI, SK, TR

OA : BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG

National : AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KM, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SM, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW



| | |
|---|---|
| The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland | Authorized officer: Ghislaine BORNET (Fax 338.87.20) |
| Facsimile No. (41-22) 338.87.20 | Telephone No. (41-22) 338 9525 |

Continuation of Form PCT/IB/301

NOTIFICATION OF RECEIPT OF RECORD COPY

| | |
|--|---|
| Date of mailing (day/month/year) 04 August 2005 (04.08.2005) | IMPORTANT NOTIFICATION |
| Applicant's or agent's file reference 49480-058 | International application No. PCT/US2005/014107 |

ATTENTION

The applicant should carefully check the data appearing in this Notification. In case of any discrepancy between these data and the indications in the international application, the applicant should immediately inform the International Bureau.

In addition, the applicant's attention is drawn to the information contained in the Annex, relating to:

- time limits for entry into the national phase - see updated important information (as of April 2002)
- requirements regarding priority documents (if applicable)

A copy of this Notification is being sent to the receiving Office and to the International Searching Authority.

INFORMATION ON TIME LIMITS FOR ENTERING THE NATIONAL PHASE

The applicant is reminded that the **"national phase"** must be entered before each of the designated Offices indicated on the cover sheet of this Notification by paying national fees and furnishing translations, as prescribed by Articles 22 and 39 and the applicable national laws. In addition, the applicant may also have to comply with other special requirements applicable in certain Offices. It is the applicant's responsibility to ensure the necessary steps to enter the national phase are taken in a timely fashion. Most Offices do not issue reminders to applicants in connection with the entry into the national phase.

The applicable time limit for entering the national phase will, subject to what is said in the following paragraph, be **30 MONTHS** from the priority date, not only in respect of any elected Office if a demand for international preliminary examination is filed before the expiration of 19 months from the priority date (see Article 39(1)), but also in respect of any designated Office, in the absence of filing of such demand, where Article 22(1) as modified with effect from 1 April 2002 applies in respect of that designated Office. For further details, see PCT Gazette No. 44/2001 of 1 November 2001, pages 19926, 19932 and 19934, as well as the PCT Newsletter, October and November 2001 and February 2002 issues.

In practice, time limits other than the 30-month time limit will continue to apply, for various periods of time, in respect of certain designated or elected Offices. For regular updates on the applicable time limits (20, 21, 30 or 31 months, or other time limit), Office by Office, refer to the PCT Gazette ("Section IV" part published on a weekly basis), to the PCT Newsletter (on a monthly basis) and to the relevant National Chapters in Volume II of the PCT Applicant's Guide (the paper version of which is updated usually twice a year and the Internet version of which is updated usually on a weekly basis). Finally, a cumulative table of all applicable time limits for entering the national phase is available from WIPO's Internet site, via links from various pages the site including those of the Gazette, Newsletter and Guide, at <http://www.wipo.int/pct/en/index.html>.

Information about the requirements for filing a demand for international preliminary examination is set out in the PCT Applicant's Guide, Volume I/A, Chapter IX. Note that only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination (at present, all PCT Contracting States are bound by Chapter II).

REQUIREMENTS REGARDING PRIORITY DOCUMENTS

For applicants who have not yet complied with the requirements regarding priority documents, the following is recalled.

Where the priority of an earlier national, regional or international application is claimed, the applicant must submit a copy of the said earlier application, certified by the authority with which it was filed ("the priority document") to the receiving Office (which will transmit it to the International Bureau) or directly to the International Bureau, before the expiration of 16 months from the priority date, provided that any such priority document may still be submitted to the International Bureau before that date of international publication of the international application, in which case that document will be considered to have been received by the International Bureau on the last day of the 16-month time limit (Rule 17.1(a)).

Where the priority document is issued by the receiving Office, the applicant may, instead of submitting the priority document, request the receiving Office to prepare and transmit the priority document to the International Bureau. Such request must be made before the expiration of the 16-month time limit and may be subjected by the receiving Office to the payment of a fee (Rule 17.1(b)).

If the priority document concerned is not submitted to the International Bureau or if the request to the receiving Office to prepare and transmit the priority document has not been made (and the corresponding fee, if any, paid) within the applicable time limit indicated under the preceding paragraphs, any designated State may disregard the priority claim, provided that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within the time limit which is reasonable under the circumstances (Rule 17.1(c)).

Where several priorities are claimed, the priority date to be considered for the purposes of computing the 16-month time limit (and all other PCT time limits) is the filing date of the earliest application whose priority is claimed (Article 2(xi)(b)).

From the INTERNATIONAL BUREAU

PCTNOTIFICATION CONCERNING
SUBMISSION OR TRANSMITTAL
OF PRIORITY DOCUMENT

To:

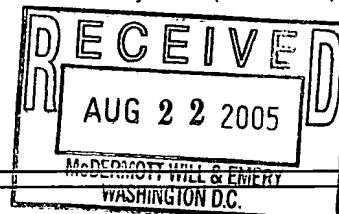
GEORGE, Keith, E.
McDermott Will & Emery LLP
600 13th Street, NW
Washington, DC 20005-3096
ETATS-UNIS D'AMERIQUE

(PCT Administrative Instructions, Section 411)

| | |
|---|--|
| Date of mailing (day/month/year) 10 August 2005 (10.08.2005) | |
| Applicant's or agent's file reference 49480-058 | IMPORTANT NOTIFICATION |
| International application No. PCT/US2005/014107 | International filing date (day/month/year) 26 April 2005 (26.04.2005) |
| International publication date (day/month/year) | Priority date (day/month/year) 27 April 2004 (27.04.2004) |
| Applicant ADVANCED OPTICAL TECHNOLOGIES, LLC et al | |

- By means of this Form, which replaces any previously issued notification concerning submission or transmittal of priority documents, the applicant is hereby notified of the date of receipt by the International Bureau of the priority document(s) relating to all earlier application(s) whose priority is claimed. Unless otherwise indicated by the letters "NR", in the right-hand column or by an asterisk appearing next to a date of receipt, the priority document concerned was submitted or transmitted to the International Bureau in compliance with Rule 17.1(a) or (b).
- (If applicable)* The letters "NR" appearing in the right-hand column denote a priority document which, on the date of mailing of this Form, had not yet been received by the International Bureau under Rule 17.1(a) or (b). Where, under Rule 17.1(a), the priority document must be submitted by the applicant to the receiving Office or the International Bureau, but the applicant fails to submit the priority document within the applicable time limit under that Rule, **the attention of the applicant is directed** to Rule 17.1(c) which provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.
- (If applicable)* An asterisk (*) appearing next to a date of receipt, in the right-hand column, denotes a **priority document submitted or transmitted to the International Bureau but not in compliance with Rule 17.1(a) or (b)** (the priority document was received after the time limit prescribed in Rule 17.1(a) or the request to prepare and transmit the priority document was submitted to the receiving Office after the applicable time limit under Rule 17.1(b)). Even though the priority document was not furnished in compliance with Rule 17.1(a) or (b), the International Bureau will nevertheless transmit a copy of the document to the designated Offices, for their consideration. In case such a copy is not accepted by the designated Office as the priority document, Rule 17.1(c) provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.

| Priority date | Priority application No. | Country or regional Office or PCT receiving Office | Date of receipt of priority document |
|----------------------------|--------------------------|---|---|
| 27 April 2004 (27.04.2004) | 10/832,464 | US | 15 July 2005 (15.07.2005) |

The International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland

Authorized officer

Bernard THORAX (Fax 338-87-20)

Facsimile No. (41-22) 338.87.20

Telephone No. +41 22 338 8213

Facsimile No. +41 22 338 82 70

Form PCT/IB/304 (January 2004)

CJLSUQEH